

IN THE
UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor(s): Michael R. Krause

Confirmation No.: 5565

Application No.: 10/099,607

Examiner: David A. Wiley

Filing Date: Mar. 15, 2002

Group Art Unit: 2143

Title: ACCESS CONTROL IN A NETWORK SYSTEM

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MAY 14 2004

Technology Center 2100

Commissioner for Patents
PO Box 1450
Alexandria, VA 22313-1450

TRANSMITTAL LETTER FOR RESPONSE/AMENDMENT

Sir:

Transmitted herewith is/are the following in the above-identified application:

- () Response/Amendment () Petition to extend time to respond
() New fee as calculated below () Supplemental Declaration
() No additional fee (Address envelope to "Mail Stop Non-Fee Amendment")
(X) Other: SIDS; Form PTO-1449; (15) cited references (fee \$)

CLAIMS AS AMENDED BY OTHER THAN A SMALL ENTITY						
(1) FOR	(2) CLAIMS REMAINING AFTER AMENDMENT	(3) NUMBER EXTRA	(4) HIGHEST NUMBER PREVIOUSLY PAID FOR	(5) PRESENT EXTRA	(6) RATE	(7) ADDITIONAL FEES
TOTAL CLAIMS		MINUS		= 0	X \$18	\$ 0
INDEP. CLAIMS		MINUS		= 0	X \$86	\$ 0
[] FIRST PRESENTATION OF A MULTIPLE DEPENDENT CLAIM					+ \$290	\$ 0
EXTENSION FEE	1ST MONTH \$110.00	2ND MONTH \$420.00	3RD MONTH \$950.00	4TH MONTH \$1480.00		\$ 0
OTHER FEES						\$
TOTAL ADDITIONAL FEE FOR THIS AMENDMENT						\$ 0

Charge \$ 0 to Deposit Account 08-2025. At any time during the pendency of this application, please charge any fees required or credit any overpayment to Deposit Account 08-2025 pursuant to 37 CFR 1.25. Additionally please charge any fees to Deposit Account 08-2025 under 37 CFR 1.16 through 1.21 inclusive, and any other sections in Title 37 of the Code of Federal Regulations that may regulate fees. A duplicate copy of this sheet is enclosed.

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, Alexandria, VA 22313-1450.

Date of Deposit: May 10, 2004

Typed Name: Patrick G. Billig

Signature: 

Respectfully submitted,

Michael R. Krause

By 

Patrick G. Billig

Attorney/Agent for Applicant(s)
Reg. No. 38,080

Date: May 10, 2004



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INFORMATION DISCLOSURE STATEMENT

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Sir:

This Information Disclosure Statement is submitted:

- ☒ under 37 CFR 1.97(b), or
(Within three months of filing national application; or date of entry of national application; or before mailing date of first office action on the merits; whichever occurs last)
- ☐ under 37 CFR 1.97 (c) together with either a:
☐ Statement under 37 CFR 1.97(e), or
☐ a \$180.00 fee under 37 CFR 1.17(p), or
(After the CFR 1.97 (b) time period, but before final action or notice of allowance, whichever occurs first)
- ☐ under 37 CFR 1.97 (d) together with a:
☐ Statement under 37 CFR 1.97(e)(1) or (2), and
☐ a \$180.00 fee set forth in 37 CFR 1.17(p).
(Filed after final action, a notice of allowance, on or before payment of the issue fee)

Please charge to Deposit Account **08-2025** the sum of \$0.00. At any time during the pendency of this application, please charge any fees required or credit any overpayment to Deposit Account **08-2025** pursuant to 37 CFR 1.25.

☒ Applicant(s) submit herewith Form PTO 1449 - Information Disclosure Statement together with any required copies of patents, publications or other information of which applicant(s) are aware, which applicant(s) believe(s) may be material to the examination of this application and for which there may be a duty to disclose in accordance with 37 CFR 1.56.

☐ A concise explanation of the relevance of foreign language patents, foreign language publications and other foreign language information listed on PTO Form 1449, as presently understood by the individual(s) designated in 37 CFR 1.56 (c) most knowledgeable about the content is given on the attached sheet, or where a foreign language patent is cited in a search report or other action by a foreign patent office in a counterpart foreign application, an English language version of the search report or action which indicates the degree of relevance found by the foreign office is listed on form PTO 1449 and is enclosed herewith.

It is requested that the information disclosed herein be made of record in this application.

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Commissioner for Patents, Alexandria, VA
22313-1450. Date of Deposit: May 10, 2004

OR

☐ I hereby certify that this paper is being transmitted to the Patent and Trademark Office facsimile number _____ on _____
Number of pages: _____

Typed Name: Patrick G. Billig

Signature: 

Respectfully submitted,

Michael R. Krause

By 

Patrick G. Billig

Attorney/Agent for Applicant(s)
Reg. No. **38,080**

Date: May 10, 2004

Telephone No.: (612) 573-2003



FORM PTO-1449

LIST OF PATENTS AND PUBLICATIONS FOR
APPLICANT'S INFORMATION DISCLOSURE
STATEMENT

(Use several sheets if necessary)

ATTY. DOCKET NO.

10004123-1

APPLICATION NO.

10/099,607

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5565

APPLICANT

Michael R. Krause

FILING DATE

March 15, 2002

GROUP

2143

REFERENCE DESIGNATION

U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	PUBLICATION DATE	NAME	Pages, Columns, Lines Where Relevant Passages or Figures Appear
	1A	6,286,052	9/2001	McCloghrie et al.	
	1B	6,434,624	8/2002	Gai et al.	
	1C				
	1D				
	1E				
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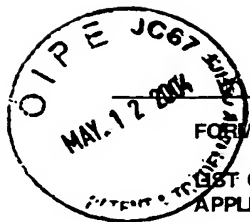
		DOCUMENT NUMBER	PUBLICATION DATE	NAME OF PATENTEE OR APPLICANT	Pages/Columns/Lines Where Relevant Passages/Figures Appear	Check if Translation attached
	1L					
	1M					
	1N					
	1O					
	1P					

OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

1Q	Brakmo, Lawrence S. et al., "TCP Vegas: End to End Congestion Avoidance on a Global Internet," IEEE Journal on Selected Areas in Communications, Vol. 13, No. 8, pp. 1465-1480 (October 1995).
1R	Cisco Systems, Inc., "Optimizing Your Network Design," Macmillan Publishing USA, pp. 1-23, (1999). < www.cisco.com >
1S	ElIoumi, Omar et al., "Improving Congestion Avoidance Algorithms for Asymmetric Networks," IEEE, pp. 1417-1421 (1997).

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	2L					
	2M					
	2N					
	2O					
	2P					

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2Q	Henderson, Thomas R. et al., "On Improving the Fairness of TCP Congestion Avoidance," IEEE, pp. 539-544 (1998).
2R	Kim, Jin-Ho et al., "TCP Deadlock Due to Coarse Timer Granularities in Unix-Based Systems," Electronics Letters, Vol. 35, No. 14, (July 8, 1999).
2S	Misra, Archan et al., "The Window Distribution of Idealized TCP Congestion Avoidance with Variable Packet Loss," IEEE, pp. 1564-1572 (1999).

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	3P					

OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

3Q	Moldeklev, Kjersti et al., "How a Large ATM MTU Causes Deadlocks in TCP Data Transfers," IEEE/ACM Transactions on Networking, Vol. 3, No. 4, pp. 409-422 (August 1995).
3R	Parsa, Christina et al., "Improving TCP Congestion Control over Internets with Heterogeneous Transmission Media," IEEE Computer Society, Seventh International Conference on Network Protocols (ICNP'99), pp. 213-221 (October 31-November 3, 1999).
3S	Ren, Jing-Fei et al., "Flow Control and Congestion Avoidance in Switched Ethernet LANs," IEEE, pp. 508-512 (1997).

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OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

4Q	Rohrs, Charles E. et al., "A Control Engineer's Look at ATM Congestion Avoidance," IEEE, pp. 1089-1094 (1995).
4R	Rosenberg, Jonathan et al., "Timer Reconsideration for Enhanced RTP Scalability," IEEE, pp. 233-241 (1998).
4S	"Congestion Avoidance Overview," pp. QC-69-QC76.

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	5L					
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	5O					
	5P					

OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

	5Q	"Weighted Random Early Detection on the Cisco 12000 Series Router," pp. 1-26.
	5R	
	5S	

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